

PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	10/791,710
Filing Date	03/04/2004
First Named Inventor	Tzong-Liang Tsai
Art Unit	2818
Examiner Name	HO, TU TU V
Total Number of Pages in This Submission	12 Attorney Docket Number
	UECP0013USA

### ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input checked="" type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please Identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	1. A copy of the acknowledgement receipt of 05/05/2006
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	2. A copy of the "Request for Deduction" submitted on
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	04/21/2006
<input type="checkbox"/> Reply to Missing Parts/ Incomplete Application	<input type="checkbox"/> Landscape Table on CD	
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53		
	<input type="checkbox"/> Remarks	

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	North America Intellectual Property Corporation		
Signature	<i>Winston Hsu</i>		
Printed name	Winston Hsu		
Date	JUN 16 2006	Reg. No.	41,526

### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature	<i>Stephanie Lai</i>
Typed or printed name	Stephanie Lai
Date	JUN 16 2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

## Attachment 2

PTO/SB/21 (09-04)

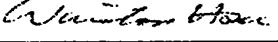
Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b>		Application Number	10/791,710
		Filing Date	03/04/2004
		First Named Inventor	Tzong-Liang Tsai
		Art Unit	2818
		Examiner Name	HO, TU TU V
Total Number of Pages in This Submission	8	Attorney Docket Number	UECP0013USA

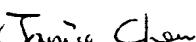
ENCLOSURES (Check all that apply)			
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC	
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences	
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)	
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information	
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter	
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):	
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	1. A copy of the request letter submitted on 02/03/2005 (4 pages)	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	2. A copy of FEE TRANSMITTAL submitted on 02/03/2005	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____		
<input type="checkbox"/> Reply to Missing Parts/ Incomplete Application	<input type="checkbox"/> Landscape Table on CD		
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53			
<input type="checkbox"/> Remarks <b>Request for Deduction</b>			

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name	North America Intellectual Property Corporation		
Signature			
Printed name	Winston Hsu		
Date	4/21/2006	Reg. No.	41,526

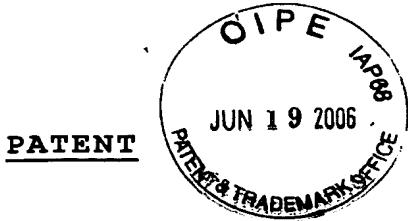
**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature			
Typed or printed name	Janice Chen	Date	4/21/2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

5      Applicant: Tzong-Liang Tsai et al.  
Examiner: HO, TU TU V   Art Unit:        2818  
App. No.: 10/791,710      Filing Date: 03/04/2004  
Docket No.:UECP0013USA

10     Title: GROUP III NITRIDE SEMICONDUCTOR DEVICE AND ITS  
                METHOD OF MANUFACTURE

To:            Commissioner for Patents  
                  P.O. Box 1450  
15            Alexandria VA 22313-1450

Subject: Status Inquiry

Dear Sir,

20            The undersigned agent received an acknowledge receipt which indicates a refund request has been received by USPTO (Attachment 1). But the request submitted on 04/21/2006 is a request for deduction  
25            (Attachment 2).

Please check it and deduct the balance \$547.00 from the Deposit Account No. 50-3105 as soon as possible. Your quick response will be appreciated.

30

Sincerely yours,

Winston Hsu

Date: JUN 16 2006

5 Winston Hsu, Patent Agent No. 41,526  
P.O. BOX 506, Merrifield, VA 22116, U.S.A.  
Voice Mail: 302-729-1562  
Facsimile: 806-498-6673  
e-mail : winstonhsu@naipo.com

10

Note: Please leave a message in my voice mail if you need to talk to me. (The time in D.C. is 12 hours behind the Taiwan time, i.e. 9 AM in D.C. = 9 PM in Taiwan.)

15



JEC-13

**UNITED STATES PATENT AND TRADEMARK OFFICE**

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

May 5, 2006

NORTH AMERICA INTELLECTUAL PROPERTY CORPORATION  
P.O. BOX 506  
MERRIFIELD, VA 22116  
US

Dear Sir/Madam,

This is to acknowledge receipt of your refund request for 10791710 in the amount of \$547.00.

Your request has been forwarded to the Technical Center Others for review and processing.

To inquire about the status of your refund request, please call 703 308-9010 x177.

Thank you,

Technical Center Others

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Tzong-Liang Tsai et al.

5 Examiner: HO, TU TU V Art Unit: 2818

Serial No.: 10/791,710 Filing Date: 03/04/2004

Docket No.: UECPO013USA

Title: Group III Nitride Semiconductor Device and Its Method  
10 of Manufacture

To: Deposit Account Branch  
Commissioner for Patents  
P.O. Box 1450

15 Alexandria VA 22313-1450

Subject: Request for Deduction

Dear Sir,

20 The applicant filed a Request to supplement the deficiency  
of the basic filing fee and the excess claim fee pursuant to  
37 CFR 1.27 (C) on 02/03/2005 (Attachment 1) and authorized  
the USPTO to deduct the balance \$547.00 from the Deposit  
25 Account No. 50-3105 (Attachment 2). The applicant recently  
found that the USPTO did not charge any fee so far.

Please deduct the balance \$547.00 from the Deposit Account  
No. 50-3105 as soon as possible. Your quick response will be  
30 appreciated.

Sincerely yours,

*Winston Hsu*

Date: 04/21/2006

5 Winston Hsu, Patent Agent No. 41,526  
P.O. BOX 506, Merrifield, VA 22116, U.S.A.  
Voice Mail: 302-729-1562  
Facsimile: 806-498-6673  
e-mail : winstonhsu@naipo.com

10

Note: Please leave a message in my voice mail if you need to talk to me. (The time in D.C. is 12 hours behind the Taiwan time, i.e. 9 AM in D.C. = 9 PM in Taiwan.)

*Attachment 1*

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant : Tzong-Liang Tsai      Examiner: Unknown  
Filing Date: 03/04/2004      Art Unit: 2811  
App. No. : 10/791,710      Docket No.: UECP0013USA

Title: GROUP III NITRIDE SEMICONDUCTOR DEVICE AND ITS  
METHOD OF MANUFACTURE

To: Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Subject: Request to supplement the deficiency of the basic  
filing fee and excessive claim fee pursuant to  
37 CFR 1.27(c)

Dear Sir:

The filing fee of the above-identified application was paid by Check no. 9394 in the amount \$587 on 3/4/2004, including \$385- Filing fee; \$162-Excessive claim fee; \$40- Assignment Recordation Fee (Attachment 1). But the entity status of the assignee was mistakenly selected as small entity on the fee transmittal. The entity status should be large entity. And the undersigned agent filed a Notification of loss of entitlement to small entity status according to 37 CFR 1.27 (g)(2) on 2/3/2005.

The undersigned agent hereby requests to supplement the

deficiency of the basic filing fee \$385 and the excessive claim fee \$162 pursuant to 37 CFR 1.27(c). Please deduct the balance \$547 from the deposit account 50-3015. Your assistance is highly appreciated.

Respectfully submitted,

Winston Hsu

FEB 03 2005

Date:

Winston Hsu, Patent Agent No. 41,526  
P.O. BOX 506, Merrifield, VA 22116, U.S.A.  
Voice Mail: 302-729-1562  
Facsimile: 806-498-6673  
e-mail : winstonhsu@naipo.com

Note: Please leave a message in my voice mail if you need to talk to me. The time difference between D.C. and Taiwan is 13 hours. The preferred time period for telephone conversation is 7 AM (or earlier) - 11 AM, D.C. time.

JAN-2005 17:11 FROM UEC

TO 0289237390

P.82

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**MAIL STOP - PATENT APPLICATION**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith is a patent application under 37 CFR 1.53(b).

Inventor(s): Tzong-Liang TSAI et al.	Attorney Docket No.: 3232-9
Date Filed: March 4, 2004	Filed by: BHT/jlw
Title: GROUP III NITRIDES SEMICONDUCTOR DEVICE AND MANUFACTURING PROCESS	

Transmitted herewith for filing are the following items:

1. Transmittal cover sheet for new U.S. Patent application.
2. 21 total pages of specification (14pgs), including claims (6 pgs) and Abstract (1 pg).
3. 38 claims.
4. 6 sheets of FORMAL drawings (Figs. 1-9).
5. Combined Oath/Declaration and Power of Attorney.
6. Assignment of the invention to United Epitaxy Company, Ltd., Cover Sheet, and fee.
7. Claim to Priority with certified copy of Taiwan appl no. 092129057, filed October 20, 2003.
8. A check in the amount of \$587.00 (\$385 -Filing Fee; \$162- Excessive Claim Fee; \$40 -Assignment Recordation Fee).
9. Early Notification Serial No. Postcard.

THE FILING FEE IS CALCULATED AS FOLLOWS:				Basic Fee:	\$770.00
Total Claims:	38	- 20 =	18	X \$18 =	\$324.00
Independent Claims:	2	- 3 =	0	X \$86 =	\$0.00
Correspondence Address: TROXELL LAW OFFICE PLLC 5205 Leesburg Pike, Suite 1404 Falls Church, VA 22041			Multiple Dependent Claim (add \$290.00):		\$0.00
			Subtotal:		\$1,094.00
			50% Reduction if Small Entity Status:		\$547.00
Phone: 703-575-2711 Fax: 703-575-2707			Total:		\$547.00

The Commissioner is hereby authorized to charge any additional fees associated with this communication, including patent application filing fees and processing fees under 37 CFR 1.16 and 37 CFR 1.17 or credit any overpayment to Deposit Account No. 501874.

Date: March 4, 2004

Bruce H. Troxell  
Registration No. 26,592

TROXELL LAW OFFICE PLLC  
5205 LEESBURG PIKE, SUITE 1404  
FALLS CHURCH, VIRGINIA 22041  
TELEPHONE: (703) 575-2711  
FACSIMILE: (703) 575-2707

# Attachment 2

PTO/SB/17 (12-04)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995 no persons are required to respond to a collection of information unless it displays a valid OMB control number

**Effective on 12/08/2004.**

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

## **FEE TRANSMITTAL For FY 2005**

Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$ 547.00)

### **Complete if Known**

Application Number	10/791,710
Filing Date	03/04/2004
First Named Inventor	Tzong-Liang Tsai
Examiner Name	Unknown
Art Unit	2811
Attorney Docket No.	UECP0013USA

### **METHOD OF PAYMENT (check all that apply)**

Check  Credit Card  Money Order  None  Other (please identify): \_\_\_\_\_

Deposit Account Deposit Account Number: 50-3105 Deposit Account Name: North America Intellectual Property Corp.

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

Charge fee(s) indicated below  Charge fee(s) indicated below, except for the filing fee

Charge any additional fee(s) or underpayments of fee(s)  Credit any overpayments

under 37 CFR 1.16 and 1.17

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

### **FEE CALCULATION**

#### **1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

<u>Application Type</u>	<u>FILING FEES</u>		<u>SEARCH FEES</u>		<u>EXAMINATION FEES</u>		<u>Fees Paid (\$)</u>
	<u>Small Entity</u>	<u>Fee (\$)</u>	<u>Small Entity</u>	<u>Fee (\$)</u>	<u>Small Entity</u>	<u>Fee (\$)</u>	
Utility	300	150	500	250	200	100	_____
Design	200	100	100	50	130	65	_____
Plant	200	100	300	150	160	80	_____
Reissue	300	150	500	250	600	300	_____
Provisional	200	100	0	0	0	0	_____

#### **2. EXCESS CLAIM FEES**

##### Fee Description

Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent 50 25

Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent 200 100

Multiple dependent claims 360 180

<u>Total Claims</u>	<u>Extra Claims</u>		<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>	<u>Multiple Dependent Claims</u>	
	<u>Fee (\$)</u>	<u>Fee (\$)</u>	<u>Fee (\$)</u>	<u>Fee (\$)</u>	<u>Fee (\$)</u>	<u>Fee (\$)</u>
- 20 or HP =		x	=			
HP = highest number of total claims paid for, if greater than 20						

<u>Indep. Claims</u>	<u>Extra Claims</u>	<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>	<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>
- 3 or HP =		x	=		

HP = highest number of independent claims paid for, if greater than 3

#### **3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

<u>Total Sheets</u>	<u>Extra Sheets</u>	<u>Number of each additional 50 or fraction thereof</u>	<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>
- 100 =		/ 50 =	(round up to a whole number) x	=

#### **4. OTHER FEE(S)**

Non-English Specification, \$130 fee (no small entity discount)

Other: Supplement the deficit of the issue fee 547.00

#### **SUBMITTED BY**

<u>Signature</u>	<u>Winston Hsu</u>	Registration No. <u>41,526</u> (Attorney/Agent)	Telephone <u>302-729-1562</u>
Name (Print/Type)	Winston Hsu	Date <u>FEB 03 2005</u>	

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

10-JAN-2005 17:13 FROM UEC

TO 0289237390

P.04



SC 12-4-74

CLIENT: IP ENDEAVOR

Client Ref: 920028.IE1

Inventor(s): Tzong-Liang TSAI et al.	Attorney Docket No.: 3232-9
Date Filed: March 4, 2004	Filed by: BHT/jw
Title: GROUP III NITRIDES SEMICONDUCTOR DEVICE AND MANUFACTURING PROCESS	

Transmitted herewith for filing are the following items:

1. Transmittal cover sheet for new U.S. Patent application.
2. 21 total pages of specification (14pgs), including claims (6 pgs) and Abstract (1 pg).
3. 38 claims.
4. 6 sheets of FORMAL drawings (Figs. 1-9).
5. Combined Oath/Declaration and Power of Attorney.
6. Assignment of the invention to United Epitaxy Company, Ltd., Cover Sheet, and fee.
7. Claim to Priority with certified copy of Taiwan appl no. 092129057, filed October 20, 2003.
8. Check no. 9394 in the amount of \$587.00 (\$385 -Filing Fee; \$162- Excessive Claim Fee; \$40 -Assignment Recordation Fee).
9. Early Notification Serial No. Postcard.

Receipt is hereby acknowledged by the U.S. Patent & Trademark Office of the above-identified papers.

**This Page is Inserted by IFW Indexing and Scanning  
Operations and is not part of the Official Record**

**BEST AVAILABLE IMAGES**

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- BLACK BORDERS**
- IMAGE CUT OFF AT TOP, BOTTOM OR SIDES**
- FADED TEXT OR DRAWING**
- BLURRED OR ILLEGIBLE TEXT OR DRAWING**
- SKEWED/SLANTED IMAGES**
- COLOR OR BLACK AND WHITE PHOTOGRAPHS**
- GRAY SCALE DOCUMENTS**
- LINES OR MARKS ON ORIGINAL DOCUMENT**
- REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY**
- OTHER:** \_\_\_\_\_

**IMAGES ARE BEST AVAILABLE COPY.**

**As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.**